

FORM PTO-1390  
(REV. 10-2003)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

931A 3750 PCT

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**U.S. APPLICATION NUMBER  
(if known, see 37 C.F.R. 1.5)**10/541296**

INTERNATIONAL APPLICATION NO.

PCT/CN2003/000594

INTERNATIONAL FILING DATE

July 24, 2003

PRIORITY DATE CLAIMED

December 30, 2002

TITLE OF INVENTION

SURFACE MODIFICATION METHOD IN FABRICATING HIGH TEMPERATURE  
SUPERCONDUCTING DEVICES

APPLICANT(S) FOR DO/EO/US

ZHENGHE HAN, SANSHEG WANG, KAI WU and MENGLIN LIU

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (20) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not transmitted by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 19 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.
13. ☐ A preliminary amendment.
14. ☒ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
18. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
19. ☒ Other items or information:
  - a. Copy of Form PCT/IB/301 (Notification of Receipt of Record Copy)
  - b. Copy of Form PCT/IB/304 (Notice re Submission or Transmittal of Priority Document)
  - c. Copy of Form PCT/IB/308 (Notice of Informing Application of Communication of International Application)
  - d. Copy of Form PCT/IB/210 (International Search Report)
  - e. Seven (7) sheets of drawings

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5) <div style="font-size: 1.5em; font-weight: bold;">10/541296</div>		INTERNATIONAL APPLICATION NUMBER PCT/CN2003/000594		ATTORNEY'S DOCKET NUMBER 931A 3750 PCT																																					
20. <input checked="" type="checkbox"/> The following fees are submitted:					<b>CALCULATIONS PTO USE ONLY</b> <hr/>																																				
<b>BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5)):</b>  Neither international preliminary examination fee (37 C.F.R. 1.482) nor international search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO of JPO ..... \$1,000  International preliminary examination fee (37 C.F.R. 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... \$1,000  International preliminary examination fee (37 C.F.R. 1.482) not paid to USPTO but international search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO ..... \$770  International preliminary examination fee (37 C.F.R. 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$200  International preliminary examination fee (37 C.F.R. 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100					<div style="border: 1px solid black; padding: 2px;">         ENTER APPROPRIATE BASIC FEE AMOUNT = \$ 1,000       </div>																																				
Surcharge of \$130 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. 1.492(e)).							<div style="border: 1px solid black; padding: 2px;">\$ 0</div>																																		
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 20%;">CLAIMS</th> <th style="width: 10%;">NUMBER FILED</th> <th style="width: 10%;">NUMBER ALLOWED</th> <th style="width: 10%;">NUMBER EXTRA</th> <th style="width: 10%;">RATE</th> <th style="width: 10%;"></th> <th style="width: 10%;"></th> </tr> </thead> <tbody> <tr> <td>Total claims</td> <td style="text-align: center;">18</td> <td style="text-align: center;">20</td> <td style="text-align: center;">0</td> <td style="text-align: right;">\$ 50</td> <td style="text-align: right;">\$ 0</td> <td></td> </tr> <tr> <td>Independent claims</td> <td style="text-align: center;">2</td> <td style="text-align: center;">3</td> <td style="text-align: center;">0</td> <td style="text-align: right;">\$ 200</td> <td style="text-align: right;">\$ 0</td> <td></td> </tr> <tr> <td colspan="4">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td> <td style="text-align: center;">+</td> <td style="text-align: right;">\$360</td> <td style="text-align: right;">\$ 0</td> </tr> <tr> <td colspan="5" style="text-align: right;"><b>TOTAL OF ABOVE CALCULATIONS =</b></td> <td style="text-align: right;">\$1,000</td> <td></td> </tr> </tbody> </table>							CLAIMS	NUMBER FILED	NUMBER ALLOWED	NUMBER EXTRA	RATE			Total claims	18	20	0	\$ 50	\$ 0		Independent claims	2	3	0	\$ 200	\$ 0		MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+	\$360	\$ 0	<b>TOTAL OF ABOVE CALCULATIONS =</b>					\$1,000	
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<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.					<div style="border: 1px solid black; padding: 2px;">\$ 500</div>																																				
<div style="text-align: right;"><b>SUBTOTAL =</b></div>					<div style="border: 1px solid black; padding: 2px;">\$ 500</div>																																				
Processing fee of \$130 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. 1.492(f)).					<div style="border: 1px solid black; padding: 2px;">\$ 0</div>																																				
<div style="text-align: right;"><b>TOTAL NATIONAL FEE =</b></div>					<div style="border: 1px solid black; padding: 2px;">\$ 500</div>																																				
Fee for recording the enclosed assignment (37 C.F.R. 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40 per property					<div style="border: 1px solid black; padding: 2px;">\$ 0</div>																																				
<div style="text-align: right;"><b>TOTAL FEES ENCLOSED =</b></div>					<div style="border: 1px solid black; padding: 2px;">\$ 500</div>																																				
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a. <input checked="" type="checkbox"/> Checks in the amounts of \$ and \$ 500 to cover the above fees are enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. 11-1445 in the amount of _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 11-1445. A duplicate copy of this sheet is enclosed.																																									
<b>NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b>																																									
SEND ALL CORRESPONDENCE TO: KODA & ANDROLIA 2029 Century Park East, Suite 1140 Los Angeles, CA 90067-2983 Dated: June 30, 2005																																									
<div style="text-align: center;">           SIGNATURE          William L. Androlia          REG.NO. 27,177       </div>																																									
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JC14 Rec'd PCT/PTO 30 JUN 2005

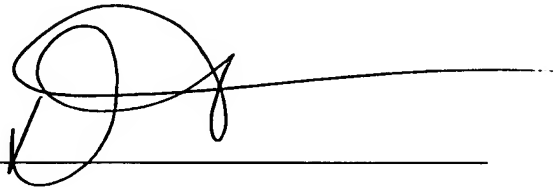
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on June 30, 2005 by Daphne Turban.

Dated: 6/30/2005

By: 

931A 3750 PCT

NTD

Applicant(s):

ZHENGHE HAN, SANSHENG WAN, KAI WU and  
MENGLIN LIU

FOR:

SURFACE MODIFICATION METHOD IN FABRICATING  
TEMPERATURE SUPERCONDUCTING DEVICES